



U.S. Department  
of Transportation

**TAM NOTE 96-01**

## **TRANSPORTATION ACQUISITION MANUAL NOTICE**

**DATE ISSUED: November 28, 1995**

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### **Transportation Acquisition Manual (TAM NOTE) 96-01 SUMMARY OF ITEMS**

TAM NOTE 96-01 is issued under the authority of the Transportation Acquisition Manual (TAM) and unless otherwise specified, all material contained in this TAM NOTE is effective on the date issued. The TAM is hereby amended as specified below:

**Item I--Changes to the requirement for contracting officer signature on Contract Information System (CIS) Form**

TAM 1204.601(d)(1) was changed as a reinvention laboratory initiative and deletes the requirement for contracting officers to sign and date the CIS form.

*Replacement pages: 1204-3 & 1204-4*

**Item II--Change to the facsimile numbers for notifications of contract award announcements**

TAM 1205.303(a)(2) and (4) was changed to reflect the current facsimile number for notifying the Assistant Secretary for Governmental Affairs of a contract award announcement, and to provide the contracting officer with a number to verify receipt.

*Replacement pages: 1205-3 & 1205-4.*

**Item III--Approval from the Director of Public Affairs (A-1) for paid advertisements in media**

TAM 1205.502(b) was changed as a reinvention laboratory initiative and deletes the requirement for A-1 approval prior to placing paid advertisements.

*Replacement page: 1205-5 (page 1205-6 renumbered to 1205-5)*

**Item IV--Change to the use of Form DOT F 4230.1 and other reinvention laboratory initiatives**

TAM 1213.104 was changed to make the use of Form DOT F 4230.1, Small Purchase Summary, elective rather than mandatory. TAM 1213.104 was changed to be in consonance with the Federal Acquisition Regulation (FAR) paragraph numbering. TAM 1213.205-70(a) is deleted in its entirety because it unnecessarily duplicates the FAR and 1213.205-70(b) is renumbered accordingly. In addition, TAM 1213.205-70(c), which requires maintaining documentation of annual Blanket Purchase Agreement (BPA) reviews and providing a copy of the documentation to the office issuing the BPA, is deleted.

*Replacement pages: 1213-1 & 1213-2.*

**Item V--Changes to Department of Transportation (DOT) Purchase Order Terms and Conditions and to change the effective date of the GSA GCCCS contract**

TAM 1213, Appendix A, was changed to require insertion of FAR 52.212-9 in full text, to correct the effective date of FAR 52.204-3, 52.232-25 and 52.233-3, and 1252.242-72 to Optional Form 347 (Back), Purchase Order Terms and Conditions--DOT.

*Replacement pages: 1213-3 thru 1213-6*

**Item VI--Clarification to definition of "commercially-available/off the shelf" training**

TAM 1213, Appendix C, paragraph II.B., was changed to clarify that commercially-available/off-the-shelf does not include training specifically developed, designed or produced to meet a particular DOT requirement regardless of whether it was or was not previously available in the commercial marketplace.

*Replacement pages: 1213-67 & 1213-68*

**Item VII--Changes to acquiring DOT training services**

TAM 1213, Appendix C, is changed by making various corrections (e.g., FAR citation, telephone number).

TAM 1213.70, Appendix C, Attachment 1, is revised: (1) as a result of the Federal Acquisition Streamlining Act (FASA) by changing the terminology "\$2,500" and "10 percent of the small purchase limitation" to read "the micro-purchase threshold set forth in FAR 13.601"; (2) by correcting the reference to the DOT Purchase/Credit Card Program to "Transportation Acquisition Manual Subchapter 1213.70"; and (3) by correcting the reference to a Delegation of Procurement Authority to acquire training services from "Attachment 3" to "Attachment 4."

*Replacement pages: 1213-71, 1213-72 and 1213-75 thru 1213-78*

**Item VIII--Changes to correct references to the small purchase limitation**

Changes are made to TAM 1213.70, Appendix C, Attachment 4, as a result of FASA. The reference to "small purchase limitation" have been changed to read "\$25,000." Updating the SF-182 Supplemental Terms and Conditions of Attachment 5, deleting TAR 1252.212-71, and correcting the effective date of FAR 52.232-8, 52.232-25, 52.233-1, 52.233-3, and TAR 1252.242-72.

*Replacement pages: 1213-81 thru 1213-84.*

**Item IX--Changes to Undefined Contract Action (UCA) requirements and editorial corrections**

TAM 1243 was changed as a reinvention laboratory initiative and deletes the requirement to submit quarterly UCA reports and its corresponding form. Instead, UCA information is to be submitted as required by M-60. Other clarifying and editorial changes were made.

*Replacement pages: TOC, 1243-1 and 1243-2.*

**TAM NOTE 96-01 FILING INSTRUCTIONS**

**Remove Pages**

1204-3 & 1204-4  
1205-3 thru 1205-6  
1213-1 thru 1213-6  
1213-67.2 & 1213-68  
1213-71 & 1213-72  
1213-75 thru 1213-78  
1213-81 thru 1213-84  
TOC, 1243-1 thru 1243-7

**Insert Pages**

1204-3 & 1204-4  
1205-3 thru 1205-5  
1213-1 thru 1213-6  
1213-67.2 & 1213-68  
1213-71 & 1213-72  
1213-75 thru 1213-78  
1213-81 thru 1213-84  
TOC, 1243-1 & 1243-2

*(Original signed by)*

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David J. Litman  
Senior Procurement Executive

## TAM NOTE 96-01

(d) Contracting officers satisfy the reporting requirements of (FAR) 48 CFR 4.601(d) when procurements are reported to the CIS pursuant to DOT Order 1340.5 series, CIS.

(1) COCO is responsible for the accuracy and completeness of each Form DOT F 4220.11, DOT CIS Data Input Form.

(2) Even though contracting offices may submit Form DOT F 4220.11 for key punching, use the CIS On-Line Data Entry System, submit a magnetic tape, or use the Federal Aviation Administration's (FAA) SAM/CIS automated interface to report contractual actions, a completed Form DOT F 4220.11 shall be placed in the official contract file.

### 1204.602 Federal Procurement Data System.

(c) In lieu of reporting the data on SF 279, Federal Procurement Data System Individual Contract Action Report, as suggested by (FAR) 48 CFR 4.602(c), DOT contracting offices shall report the required data to the CIS by submitting Form DOT F 4220.11 for keypunching, entering the data via the CIS On-Line Data Entry System, submitting a magnetic tape, or using FAA's SAM/CIS automated interface. SF 281, Federal Procurement Data System (FPDS)--Summary Contract Action Report (\$25,000 or Less) shall be used to report contract actions of \$25,000 or less (except see TAM 1204.602-71).

(d) Contracting officers in and outside the United States shall obtain a Contractor Establishment Code (CEC) as described in the following subparagraphs. Requests to any office besides the Dun and Bradstreet office indicated below will not be honored.

(1) To obtain up to ten CECs by telephone, call (610) 882-7741. Dun & Bradstreet will reject all telephone requests for more than ten CECs.

(2) To obtain more than ten CECs, the request must be facsimiled by dialing (610) 882-7140 or mailed to the following address:

FPDC Department  
Dun & Bradstreet Information Services  
899 Eaton Avenue  
Bethlehem, PA 18025-0013

(3) The requestor must provide the following information with each telephone, written, or facsimile request to Dun and Bradstreet:

(i) Reporting agency name: U.S. Department of Transportation;

(ii) Requestor's agency code: 6901 (use this code, not the OA's number);

(iii) Contracting office code: 00059 (use this code, not the procurement office's number);

(iv) Name and telephone number of the person requesting the CEC(s);

(v) Contractor's establishment name, street address, city, state, zip code, and telephone number (if available); and

(vi) If this is a foreign contractor (i.e., established outside of the U.S. and its outlying areas), provide the contractor's establishment name, street address, province (if any), city, country, postal code, and telephone number (if available).

#### **1204.602-70 Report on UNICOR acquisitions.**

Section 2901 of the Crime Control Act of 1990 (Public Law 101-647) requires each Federal department and agency to report to the General Services Administration (GSA), through the FPDS, all acquisitions of products and services from the Federal Prison Industries (UNICOR). OAs shall report all UNICOR acquisitions in accordance with the procedures under TAM 1204.602(c).

#### **1204.602-71 Acquisitions under the Small Business Competitiveness Demonstration Program.**

(a) The Small Business Competitiveness Demonstration Program (Title VII of Pub. L. 100-656) is described under (FAR) 48 CFR 19.10. (FAR) 48 CFR 19.1005 defines the four designated industry groups selected for this program, and (TAR) 48 CFR 1219.1005(b) defines the ten targeted industry groups agreed to between DOT and SBA as required by (FAR) 48 CFR 19.1005(b). The Program expires September 30, 1996.

(b) The contracting officer shall report to the CIS, by the methods described in TAM 1204.602(c), each contract action that obligates or deobligates funds of \$500 or more within the four designated industry groups or the ten targeted industry groups mentioned under paragraph (a) above. None of the acquisitions under this program shall be reported on the SF 281 (i.e., do not report those acquisitions between \$500 and \$25,000 on SF 281).

#### **1204.602-72 Uniform Procurement Instrument Identification Numbering System.**

##### **1204.602-7201 Policy.**

(a) The Uniform Procurement Instrument Identification Numbering (PIIN) System is established to control, track and identify each procurement action from receipt of the procurement request through award and closeout of the procurement instrument.

(b) Alphanumeric characters, other than those prescribed in this subchapter, shall not be used as a part of the PIIN. If additional identification is needed by the operating administration for internal reasons, it shall be placed on the

Utilization at (800) 532-1169. For information concerning the acquisition, contact the contracting official listed above."

When synopsisizing all other acquisitions that do not require bonding, add the following information to Item #17:

"This Notice is for informational purposes for Minority, Women-Owned and Disadvantaged Business Enterprises : The Department of Transportation (DOT), Office of Small and Disadvantaged Business Utilization (OSDBU), has a program to assist minority, women-owned and disadvantaged business enterprises to acquire short-term working capital assistance for transportation-related contracts. Loans are available under the DOT Short Term Lending Program (STLP) at prime interest rates to provide accounts receivable financing. The maximum line of credit is \$500,000. For further information and applicable forms concerning the STLP, call the OSDBU at (800) 532-1169. For information concerning the acquisition, contact the contracting official listed above."

#### **SUBCHAPTER 1205.3--SYNOPSIS OF CONTRACT AWARDS**

##### **1205.301 General.**

If it is determined that synopsis of award is unnecessary, the rationale shall be documented in writing and included in the contract file.

##### **1205.301-70 Synopsis of contracts containing Pub. L. 95-507 subcontracting plans and goals.**

The synopsis of contract award, where applicable, shall include a statement identifying the contract as one containing Pub. L. 95-507 ((FAR) 48 CFR 19.702) subcontracting plans and goals.

##### **1205.303 Announcement of contract awards.**

(a) *Public announcement.* Contracts valued at \$1.5 million or more shall not be distributed nor any information released to any source outside of DOT (except in the case of notification to unsuccessful offeror(s) under a small business set-aside ((FAR) 48 CFR 15.1000(b)(2)) that the contract has been approved until the Assistant Secretary for Government Affairs (I-1) or designee has advised the contracting officer (or other official designated in accordance with OA procedures) that the contract may be released. The contracting officer may sign the contract, but no information may be released outside of DOT until the procedures contained in the subparagraphs below have been accomplished.

(1) The contract notification procedures contained in this subchapter (supplemented as necessary by OA procedures) and Form DOT F 4220.41, Contract Award Notification (see 1253.205-70), shall be used to transmit the required contract award information to I-1. The information contained on Form DOT F 4220.41 will be used by I-1 when preparing press releases and otherwise announcing contracts.

## **TAM NOTE 96-01**

(2) Form DOT F 4220.41 shall be prepared, signed, and submitted to I-1 by the contracting officer or other official designated by the OA by hand-carry (Room 10408 of the Nassif Building) or facsimile transmission ((202) 366-3675) for procurement actions.

(3) For those procurements subject to the requirements of Subchapter 1215.6, Formal Source Selection, after the Source Selection Official has selected the contractor(s) for award, the contracting officer shall be notified immediately so that the Form DOT F 4220.41 can be prepared, signed, and transmitted to I-1. All personnel are reminded that contract information contained on Form DOT F 4220.41 may be competition sensitive. Information concerning the award shall not be disclosed to parties outside of DOT except by I-1 and the contracting officer.

(4) Unless I-1 requests the contracting officer or other designated official not to proceed with contract award, awards may be announced on the third working day following receipt of the Form DOT F 4220.41 in I-1. The contracting officer is responsible for documenting the date the DOT F 4220.41 is received by I-1 by verifying receipt at (202) 366-9714.

### **SUBCHAPTER 1205.4--RELEASE OF INFORMATION**

#### **1205.401 General.**

After consultation with OA legal counsel and/or personnel from the Freedom of Information Act (FOIA) office (as applicable), the contract file shall be documented to provide the rationale for withholding information other than that permitted to be withheld in (FAR) 48 CFR 5.401(b). A copy of the response from the FOIA office denying the request may be included in the file as the documentation.

#### **1205.403 Requests from Members of Congress.**

(a) *Individual requests.* The authority of the agency head under (FAR) 48 CFR 5.403(a) is delegated to the HCA.

#### **1205.404 Release of long-range acquisition estimates.**

##### **1205.404-1 Release procedures.**

The authority of the agency head under (FAR) 48 CFR 5.404-1(a) and (b) is delegated to the contracting officer.

### **SUBCHAPTER 1205.5--PAID ADVERTISEMENTS**

#### **1205.502 Authority.**

(a) *Newspapers.* The authority of the head of the agency under (FAR) 48 CFR 5.502(a) is delegated one level above the contracting officer.



# TAM NOTE 96-01

## APPENDIX A

### COMMERCE BUSINESS DAILY (CBD) PUBLICATION DATA SERVICE

#### Description:

The CBD Publication Data Service is an electronic bulletin board system that lists abstracts of CBD synopses of contract actions by zip code groupings. Each abstract contains the first 300 textual characters of each synopsis. All abstracts provided by the bulletin board are grouped by the contracting office's five digit zip code (see CBD Format Item #5, "Contracting Office Zip Code," or Format Item #7, "Contracting Office Address").

When a user accesses the bulletin board, the user will be required to enter his/her office's zip code. The bulletin board will respond by providing a listing of abstracts of all synopses that contain that zip code from the CBD Data Files for the past ten workdays.

Access to the system is free, 24 hours a day, seven days a week. However, your office is responsible for the actual telephone costs.

#### Hardware and Software Requirements:

- A commercial telephone line
- A standard modem (e.g., Bell 212A)
- A personal computer with a standard TTY (communications) software package (e.g., Crosstalk, Procomm, or SmartCom).

#### Communications Protocol:

Telephone Number:	(312) 586-8111
BAUD Rate:	1200
Parity:	even, odd, or no parity
Data Bits:	7
Stop Bits:	1
Echo:	off

# **TAM NOTE 96-01**

## **CHAPTER 1213**

### **SMALL PURCHASE AND OTHER SIMPLIFIED PURCHASE PROCEDURES**

#### **SUBCHAPTER 1213.1--GENERAL**

##### **1213.104 Procedures.**

Except for acquisitions of \$2,500 or less, Form DOT F 4230.1, Small Purchase Summary, may be used to document purchases covered by (FAR) 48 CFR Part 13 and placed in the small purchase file.

##### **1213.106 Competition and price reasonableness.**

(a) *Purchases over 10 percent of the small purchase limitation.*

(4) The authority of the HCA under (FAR) 48 CFR 13.106(a)(4) is delegated to the COCO. Any exemption by the COCO shall be justified in writing. The need for the exemption shall be revalidated at least annually.

##### **1213.107 Solicitation and evaluation of quotations.**

(a) *Forms.* SF 18, Request for Quotations, shall be used to obtain written quotations as prescribed in (FAR) 48 CFR 13.107(a).

#### **SUBCHAPTER 1213.2--BLANKET PURCHASE AGREEMENTS**

##### **1213.203 Establishment of Blanket Purchase Agreements.**

###### **1213.203-1 General.**

(i) Optional Form (OF) 347, Order for Supplies or Services, as supplemented by Appendix A, shall be used to establish a Blanket Purchase Agreement (BPA).

##### **1213.204 Purchases under Blanket Purchase Agreements.**

###### **1213.204-70 Modifying a Blanket Purchase Agreement.**

The SF-30 shall be used to modify a BPA.

##### **1213.205 Review procedures.**

###### **1213.205-70 Review responsibility.**

(a) When the authorized callers under the BPA are not within the OA which issued the BPA, the contracting officer or the designated representative of the contracting officer within the OA using the BPA is responsible for the review.

## **SUBCHAPTER 1213.4--IMPREST FUND**

### **1213.403 Agency responsibilities.**

(a) Guidance governing the use and administration of imprest funds within DOT is contained in DOT Order 2770.7 series, Imprest Fund Manual, and the Office of Financial Management (B-30) memoranda dated September 19, 1991 and October 21, 1991, which increased the limitation for single, routine imprest fund transactions to \$500 (except that travel reimbursements paid through the Washington, DC, Headquarters imprest funds are limited to \$250). Alternative measures, such as the GSA Government Travel Charge Card or travelers checks for travel advances and expenses and the Governmentwide commercial credit card or third party drafts for making small purchases should be used to the maximum extent possible to minimize the number of imprest fund transactions.

(b) HCAs shall establish procedures for designation of personnel authorized to approve requisitions and make purchases using imprest funds. HCAs may require that only contracting officers may approve requisitions using imprest funds.

### **1213.404 Conditions for use.**

(a) The authority of the agency head under (FAR) 48 CFR 13.404(a) is delegated to the Director of the Office of Financial Management (B-30).

### **1213.405 Procedures.**

(f) The individual making an approved purchase from the imprest fund shall be responsible for compliance with the documentation requirements of (FAR) 48 CFR 13.405(f) and DOT Order 2770.7 series. The individual having acquisition authority to approve purchases from the imprest fund shall be responsible for checking the authorized purchase requisition for compliance with the internal control requirements mandated by DOT Order 2770.7 series.

## **SUBCHAPTER 1213.5--PURCHASE ORDERS**

### **1213.503 Obtaining contractor acceptance and modifying purchase orders.**

(b) The SF 30 is to be used to modify a purchase order.

## **1213.505 Purchase order and related forms.**

### **1213.505-1 Optional Form (OF) 347, Order for Supplies and Services, and Optional Form 348, Order for Supplies or Services Schedule-Continuation.**

#### *(a) General.*

(2) OFs 347 and 348 shall be used for the purposes described in (FAR) 48 CFR 13.505-1(a).

(b) *Clauses.* Appendix A supplements the purchase order terms and conditions (Optional Form 347 Back) generally applicable to small purchases. Appendix A shall be used as an attachment to OFs 347 and 348 unless an OA equivalent supplemental clause list has been authorized for use by the COCO.

### **1213.505-3 Standard Form 44, Purchase Order-Invoice-Voucher.**

(b)(1) Fuel and lubricant purchases for USCG cutters and aircraft are permitted up to a limitation of \$25,000.

(d) OAs are responsible for establishing procedures to control the use of SF 44s and to account for all purchases made using the form, including:

(1) Maintenance of a list of designated individuals authorized to make purchases using the form;

(2) Controls for issuance of the form to authorized individuals; and

(3) Review of purchase transactions using the form to assure compliance with authorized procedures.

## **SUBCHAPTER 1213.70--DEPARTMENT OF TRANSPORTATION PURCHASE/CREDIT CARD PROGRAM**

### **1213.7000 General.**

DOT policies and procedures for the use of the DOT Purchase/Credit Card Program are contained in Appendix B.

## **SUBCHAPTER 1213.71--DEPARTMENT OF TRANSPORTATION PROCEDURES FOR ACQUIRING TRAINING SERVICES**

### **1213.7100 General.**

DOT policies and procedures for acquiring training services using small purchase procedures under a delegation of procurement authority are contained in Appendix C.

# TAM NOTE 96-01

## APPENDIX A

### PURCHASE ORDER TERMS AND CONDITIONS--DOT

The following FAR provisions/clauses supplement the purchase order terms and conditions (Optional Form 347 Back). The provisions/clauses marked with an "X" apply to this order. An asterisk (\*) indicates the provision/clause must be incorporated in full text; all others may be incorporated by reference.

#### SERVICES

_____	FAR 52.222-40	Service Contract Act--Less than \$2,500 (MAY 89)
_____	FAR 52.222-41	Service Contract Act (MAY 89)
_____	FAR 52.222-48	Exemption from Service Contract Act (MAY 89)
_____	FAR 52.249-1	Termination For Convenience, Firm-Fixed Price, Services, Short Form (APR 84)

#### SUPPLIES

*	_____	FAR 52.212-9	Variation in Quantity (APR 84)
	_____	FAR 52.225-3	Buy American Act-Supplies (JAN 94)
	_____	FAR 52.227-19	Commercial Computer Software-Restricted Rights Clause (JUN 87)
	_____	FAR 52.246-16	Responsibility for Supplies (APR 84)
	_____	FAR 52.249-1	Termination for Convenience, Firm-Fixed Price, Supplies, Short Form (APR 84)

#### OTHER

	_____	FAR 52.203-6	Restrictions on Subcontractor Sales to the Government (JUL 85)
	_____	FAR 52.203-7	Anti-Kickback Procedures (OCT 88)
*	_____	FAR 52.204-3	Tax Identification Number (TIN) (MAR 94) TIN:_____ (Offeror provides)
	_____	FAR 52.208-4	Vehicle Lease Payments (APR 84)
	_____	FAR 52.208-5	Condition of Leased Vehicles (APR 84)
	_____	FAR 52.208-6	Marking of Leased Vehicles (APR 84)
	_____	FAR 52.208-7	Tagging of Leased Vehicles (MAY 86)
	_____	FAR 52.213-2	Invoices (APR 84)
	_____	FAR 52.213-3	Notice to Supplier (APR 84)
	_____	FAR 52.222-20	Walsh Healey Act over \$10,000 (APR 84)
	_____	FAR 52.222-21	Certification of Nonsegregated Facilities (APR 84)
	_____	FAR 52.222-35	Affirmative Action Vietnam Era (APR 84)
	_____	FAR 52.222-37	Employment Report Disabled/Vietnam (JAN 88)

# TAM NOTE 96-01

## PURCHASE ORDER TERMS AND CONDITIONS--DOT

\* \_\_\_\_\_ FAR 52.222-42 Equivalent Rates for Federal Hires (MAY 89)  
Job Title \_\_\_\_\_ Rate \$ \_\_\_\_\_  
Job Title \_\_\_\_\_ Rate \$ \_\_\_\_\_  
Job Title \_\_\_\_\_ Rate \$ \_\_\_\_\_  
Job Title \_\_\_\_\_ Rate \$ \_\_\_\_\_  
\_\_\_\_\_ FAR 52.223-5 Drug Free Workplace (JUL 90)  
\_\_\_\_\_ FAR 52.227-14 Rights in Data-General, w/Alt. I, II, III (JUN 87)  
\_\_\_\_\_ FAR 52.232-18 Availability of Funds (APR 84)  
\_\_\_\_\_ FAR 52.232-25 Prompt Payment (MAR 94)  
\_\_\_\_\_ FAR 52.233-3 Protest After Award (AUG 89)  
\_\_\_\_\_ FAR 52.243-1 Changes-Fixed Price (AUG 87)  
\_\_\_\_\_ FAR 52.245-2 Government Property Fixed Price (DEC 89)  
\_\_\_\_\_ FAR 52.245-4 Government Furnished Property (APR 84)  
\_\_\_\_\_ FAR 52.246-1 Contractor Inspection (APR 84)  
\_\_\_\_\_ FAR 52.247-29 F.O.B. Origin (JUN 88)  
\_\_\_\_\_ FAR 52.247-34 F.O.B. Destination (NOV 91)  
\_\_\_\_\_ FAR 52.247-35 F.O.B. Destination Within Consignee Premises (APR 84)  
\_\_\_\_\_ FAR 52.249-8 Default Fixed Price (APR 84)  
\_\_\_\_\_ TAR 1252.242-72 Dissemination of Contract Information (OCT 94)

DEPARTMENT OF TRANSPORTATION PURCHASE/CREDIT CARD PROGRAM

I. GENERAL.

These policies and procedures replace the Office of Financial Management (M-80) Interim Small Purchase Credit Card Policy memorandum issued November 7, 1990.

II. APPLICABILITY.

These policies and procedures apply to all DOT operating administrations (OA). OAs may authorize designated field offices to develop their own internal procedures to implement the DOT Purchase/Credit Card Program.

III. DEFINITIONS.

The definitions set forth below supplement those set forth in the General Services Administration (GSA) Governmentwide Commercial Credit Card Service (GCCCS) contract. The current GCCCS contract which is effective through November 29, 1994, is provided as Attachment 1. If GSA elects to exercise the four one-year renewal option periods contained in the contract, the contract will be modified accordingly.

A. "Agency/Organization Program Coordinator" (also referred to as Contracting Officer's Technical Representative) means an individual designated by the ordering agency/organization to perform contract administration within the limits of delegated authority. The individual shall have overall responsibility for the Purchase/Credit Card Program within their bureau, agency/organization or region and may determine who the approving officials or cardholders will be.

B. "Approving Official" means a Government employee(s) within the OA who has a number of cardholders under his/her purview and determines that cardholders' purchases are made within applicable regulations, policies, and procedures.

C. "Approving Official Report" means a monthly report sent by the card issuing bank to each approving official summarizing the purchase and credits of each cardholder under the approving official's purview.

D. "Card Issuing Bank" means the bank which issues cards to cardholders and submits monthly statements to cardholders, approving officials, and finance offices detailing amounts of purchases and credits made by cardholders.

E. "Cardholder" means the individual Government employee within the OA who is a warranted contracting officer or to whom a written delegation of procurement authority (DPA) has been issued by the cognizant Chief of the Contracting Office (COCO) or designee granting the use of the purchase/credit card.

BENEFITS TO YOUR COMPANY  
FOR ACCEPTING THE I.M.P.A.C. VISA CARD

TODAY, ROCKY MOUNTAIN BANKCARD SYSTEM, INC. (RMBCS) RANKS AS ONE OF THE LARGEST CARD PROCESSING COMPANIES IN THE UNITED STATES. SINCE RMBCS HAS BEEN RECOGNIZED AS A LEADING PROVIDER OF CARD SERVICE WITH MORE THAN 2-1/2 MILLION CARDHOLDERS USING VISA AND MASTERCARD CREDIT AND DEBIT CARDS, AS WELL AS CARDS FOR PROPRIETARY, PRIVATE LABEL AND AFFINITY GROUPS.

MORE THAN 500 FINANCIAL INSTITUTIONS AND 60,000 MERCHANTS RELY ON RMBCS TO PROCESS 80 MILLION VISA AT MASTERCARD TRANSACTIONS ANNUALLY.



The U.S. Government can now pay vendors with a VISA card for purchases up to \$25,000

GSA Contract Number  
GS 005-06010

- Receive payment in days, versus months, for all goods or services purchases.
- Increase sales because government employees are encouraged to make purchases from your company instead of your competitors.
- Reduce paperwork associated with purchases because SF-44 forms and imprest funds are no longer required.

What is required?

John more than 8 million merchant locations worldwide who accept VISA.

Contact your bank or Rocky Mountain BankCard System to establish a merchant relationship. If you already have a VISA merchant account, follow the same procedures as any other VISA sale.

RMBCS  
Rocky Mountain BankCard System

ELECTRONIC DRAFT CAPTURE (EDC)

Thousands of companies have switched to this advanced method of credit card processing to streamline operations. Whether you are a small or large company, Rocky Mountain BankCard System has a solution to fit your needs that will be easy to use.

- Deposits are made directly to your local bank within two business days.
- Transactions can be processed via terminal, personal computer or electronic cash register.
- Time consuming phone authorizations and warning bulletins are eliminated.

Establishing a relationship to accept the I.M.P.A.C. card is a simple process.

You can use a PC and modem or purchase an inexpensive terminal to process transactions. A RMBCS merchant representative can help you determine the method of processing that meets your needs.

Operation:

The operation is simple and easy to learn. When you accept a credit card as payment, you simply swipe the card through the magnetic stripe reader on the terminal or key in the I.M.P.A.C. card number. The terminal prompts you to enter the dollar amount of the sale before it dials out for authorization and capture. The authorization number is then recorded on the sales draft.

Reporting:

Rocky Mountain BankCard System provides a Merchant Monthly Activity Statement recapping all account activity for the month.

The discount rate is calculated on net sales for the month. The charge is automatically debited from your bank account between the second and tenth business day of the following month.

Should you be a merchant with multiple locations, etc., additional reporting of each stores activity is available to a main office or corporate headquarters.

Customer Service:

Customer service representatives will be available to answer any questions and to provide you with any information. Additionally, the RMBCS "Help Desk" is available 24 hours a day, 7 day a week. Service levels are monitored and controlled to guarantee that your company receives prompt and responsible service.

If you would like additional information regarding Electronic Draft Capture, please contact our Electronic Draft Capture Marketing Department at 1-800-525-3717, ext. 2526.

Rocky Mountain BankCard System, Inc., P.O. Box 5952, Denver, CO 80217, (303) 629-7755



# TAM NOTE 96-01

## APPENDIX C

### DEPARTMENT OF TRANSPORTATION PROCEDURES FOR ACQUIRING TRAINING SERVICES

#### I. GENERAL.

Department of Transportation (DOT) policies and procedures for acquiring training services by other than warranted contracting personnel are set forth herein.

#### II. DEFINITIONS.

A. "Chief of the Contracting Office (COCO)" means the individual responsible for managing the contracting office(s) within an Operating Administration (OA). The COCO is the official granting a delegation of procurement authority (DPA) under these procedures.

B. "Commercially-available/off-the-shelf," means existing training that is regularly offered to the general public and/or Government personnel in the course of normal business operations. The term includes training offered by a college, university, professional association, group, or organization. The term does not include training specifically developed, designed, or produced to meet a particular DOT requirement.

C. "Delegation of Procurement Authority (DPA)" means the authorizing document, approved and signed by the cognizant COCO granting specific procurement authority to an individual Government employee. If required by the organizational structure of the OA, the COCO shall obtain the approval of the Head of the Contracting Activity prior to granting DPAs under these procedures.

D. "Established catalog or market price" means a catalog, price list, schedule or other verifiable and established record that: (1) is published or otherwise available for customer inspection, (2) states the current or last sales price to the public or private sector (3) is established in the course of ordinary and usual trade between buyers and sellers, and (4) can be substantiated by data from sources independent of the vendor.

E. "Fixed amount" means the cost of the training is of a firm amount (e.g., price per student, event, session, class program, course, seminar, or other instructional service).

F. "Head of the Contracting Activity (HCA)" means the individual responsible for managing the contracting offices within an OA who is a member of the Senior Executive Service or a flag officer.

G. "Small purchase procedure" means the acquisition of training services by the methods prescribed in Federal Acquisition Regulation (FAR) Part 13, and as implemented by the Transportation Acquisition Regulation (TAR) and the Transportation Acquisition Manual (TAM).

## TAM NOTE 96-01

### C. Methods of Acquiring Training Services.

#### 1. DOT Purchase/Credit Card Program.

The purchase/credit card shall be used to the maximum extent possible to acquire training within the cardholder's single purchase limit (not to exceed \$2,500).

#### 2. Use of SF 182.

In the absence of a purchase/credit card or when a contractor does not accept the government purchase/credit card, an SF-182 may be used to acquire training services of \$2,500 or less using the procedures set forth in paragraph VI.C. below. An employee may be designated for a DPA to acquire training services in amount of \$2,500 or less upon attending purchase/credit card training conducted by the OA.

#### 3. Imprest Fund.

For those **infrequent** occasions when the purchase/credit card or an SF-182 cannot be used, a DPA recipient may use imprest fund procedures to acquire training in accordance with DOT Order 2770.7 series, and DOT Office of Financial Management (M-80) memoranda dated September 19, 1991, and October 21, 1991, (Attachments 2A and 2B). The imprest fund shall be used only for those training needs: in amounts not in excess of the imprest fund limitation; which could not have been anticipated; and which must be satisfied immediately. Justification for use of the imprest fund in lieu of the SF-182 or purchase/credit card must be documented in the official order file (see paragraph VII.D.).

### D. Funds Certification.

A Purchase Request (PR) DOT F 4200.1, is not required to acquire training services using a government purchase/credit card. In lieu of a PR, required approvals or funds certification may be secured by any method prescribed by an OA that establishes a record of the action (i.e., by memorandum, routing slip or other written documentation, by annual, quarterly or monthly commitment accounts established by accounting certification officers/funds administrators; by using electronic mail to document approvals and certifications, etc.).

### E. Competition.

Purchases of \$2,500 or less may be made without securing competition, if the price is determined fair and reasonable. Requirements in excess of \$2,500 shall not be divided or "split" into two or more separate purchases in order to avoid competition.

## VI. ACQUISITIONS GREATER THAN \$2,500:

### A. Small purchase training.

Each prospective DPA recipient will be required to attend formal small purchase procurement training of at least 32 hours duration that, at a minimum,

addresses the requirements of FAR Part 3, (Improper Business Practices and Personal Conflicts of Interest), FAR Part 8 (Required Sources of Supplies and Services), and FAR Part 13 (Small Purchase and Other Simplified Purchase Procedures). Contracting offices shall assist in identifying qualified small purchase procurement training courses for prospective DPA recipients.

#### B. Delegation of Procurement Authority.

1. The OIG and each OA shall identify those Government employees (normally human resources management personnel) required to perform training support functions within their activity to be designated as DPA recipients responsible for acquiring training services within the limitations set forth herein. When selecting prospective DPA recipients, consideration shall be given to an individual's experience in obtaining training services, business acumen, judgment, character and demonstrated financial responsibility (e.g., no seriously delinquent debts such as travel advances or charge card balances (Diners Club/American Express)).

2. Upon successful completion of the required small purchase procurement training, the name of the prospective DPA recipient and a copy of the individual's course completion certificate or equivalent documentation shall be submitted to the cognizant COCO, requesting the issuance of a DPA. At the discretion of the COCO, a written DPA will be granted designating the individual as an authorized official for the acquisition of training services within the limitations and procedures of GETA, FAR, TAR, TAM, DPM and the procedures set forth herein.

3. Copies of pertinent acquisition regulations referenced in these procedures, if not received as a part of the small purchase training, shall be requested from the DPA granting official when requesting a DPA. A memorandum similar to the sample at Attachment 3 shall be used to request a DPA to acquiring training services under these procedures.

4. DPA recipients shall be appointed in writing (see Attachment 4). The DPA memorandum shall state the scope of the DPA recipient's authority as limited by these procedures and shall be automatically terminated upon the individual's reassignment or termination of employment. The DPA may also be terminated in writing in the case of unsatisfactory performance or for other reasons as determined necessary by the cognizant COCO. DPAs granted under these procedures may not be redelegated.

5. The COCO shall forward a copy of each DPA granted or terminated under these procedures to the Director, Acquisition and Grant Management, 400 Seventh St., S.W., Washington, DC 20590, Attn: M-61. This notification requirement may be satisfied by submitting a semi-annual list of the DPA recipients' names, addresses, telephone numbers and routing symbols to M-61.

#### C. Methods of acquiring training services.

For the purposes of these procedures, an SF-182 shall be considered an alternative agency purchase order form (FAR 13.505). Attachment 5, SF-182 Supplemental Terms and Conditions, shall be attached to the form before issuing

## TAM NOTE 96-01

### B. Small business-small purchase set asides.

1. Except for training services acquired from a required Government source of supply, all acquisitions estimated to exceed the micro-purchase threshold (\$2,500) shall be reserved exclusive for small business concerns ((FAR) 48 CFR 13.105)). If the purchase is made to other than a small business, the official order file shall be documented with the reason for the unrestricted purchase (see paragraph VII.D.).

2. DPA recipients are encouraged to request assistance from cognizant Small Business Administration (SBA) center representatives and DOT Offices of Small and Disadvantaged Business Utilization (OSDBU) liaison personnel in identifying small business concerns capable of meeting their training requirements. The DOT Headquarters SBA Procurement Center Representative (PCR), can be reached at (202) 366-5323. A national directory of SBA PCRs may be obtained by calling the SBA at (202) 205-6471. A telephone listing of DOT OSDBU liaison personnel for each of the OAs may be obtained by calling their National Information Clearinghouse at (800) 532-1169.

### C. Official Order File.

DPA recipients shall establish an official order file in support of the training acquired under these procedures. The file may be organized on an individual basis for each transaction or as a master filing system in which all of the records would be combined in one file, easily accessible for acquisition planning purposes as well as for reviews and audits.

D. Official Order File Documentation. The official order file shall include the following the following documentation as applicable to the purchase:

1. Funds certification. See paragraph V.D. above.

2. Justification for use of imprest fund. See paragraph V.C.3. above.

3. Price reasonableness. In accordance with (FAR) 48 CFR 13.106, the DPA recipient is responsible for documenting the official order file with the basis for determining the price reasonableness of the training to be purchased (i.e., competitive quotations, comparison with competitive published price lists, published market prices, fixed catalog prices).

4. Small business-small purchase set asides. If a determination is made that there is no reasonable expectation of obtaining quotations from small businesses, as set forth in (FAR) 48 CFR 13.105(d)(2), the DPA recipient shall document the order file with the reason(s) for the unrestricted purchase.

5. Sole source justification. For requirements in excess of \$2,500, solicitations may only be limited to one source, if it is determined that it is the only source reasonably available ((FAR) 48 CFR 13.106), and if the price is determined fair and reasonable. If only one source is solicited, the official order file must be documented to explain the absence of competition.

## TAM NOTE 96-01

6. Modifications. The official order file documentation shall include a summary of the price negotiation and determination of price reasonableness as set forth in paragraph VI.G. above.

DPA recipients shall use Form DOT F 4230.1, Small Purchase Summary (Attachment 7) for the purpose of documenting their official order file. The DPA recipient shall sign the Small Purchase Summary form as the approving official. Form DOT F 4230.1 need not be completed when the training is acquired from a Government source of supply.

### E. Administration and Close out of Official Order Files.

DPA recipients are responsible for ensuring that:

1. training services are received and/or conducted in accordance with the terms of the order;

2. all necessary information is maintained and reported for all training obtained under these procedures;

3. invoices are reviewed and approved for payment in a timely fashion in order to preclude the payment of interest under the provisions of the Prompt Payment Act (31 U.S.C. 3109 et.seq.); and

4. official order files are not destroyed before three years after final payment.

### F. Records.

In addition to the official order file, DPA recipients shall maintain a control log for the purpose of tracking all orders issued under these procedures when the acquisition is accomplished using an SF-182 or the Government purchase/credit card. As a minimum, the control log shall provide the name and address of the vendor, training date(s), title, and total price of the training acquired under these procedures. Any additional information required by human resources development organizations for tracking and reporting purposes must also be maintained.

By October 15 of each year, a copy of the log information for the previous twelve month period shall be provided to the Office of the Secretary, Human Resources Development Division, M-13, and to the DPA granting official to assist in Departmental advanced acquisition planning and maintaining oversight on the appropriate use of the delegated authority.

G. Government employees serving as procurement officials must sign a Procurement Integrity Certification (see TAM 1203.104-5(d)(2)(ii). Optional Form 333 ((FAR) 48 CFR 53.302-333), Attachment 8, herein may be used for this purpose. The term "procurement official" refers to any officer or employee of an agency who has participated personally and substantially in such duties as drafting reviewing approving a specification or statement of work, preparing or developing procurement requests, preparing or issuing solicitations, evaluating bids or proposals, selecting sources, negotiating prices, terms and conditions of a

## **TAM NOTE 96-01**

of a contract or contract modification, and reviewing and approving contract awards or modifications ((FAR) 48 CFR 3.104-4).

### **VIII. AUDIT AND REVIEW.**

The DPA granting official is responsible for reviewing a random sample of the official order files and control logs to ensure that authorized procedures are being followed. The reviews shall be conducted no less frequently than every three years from the implementation date of these procedures. Written documentation of the results of these reviews shall be maintained by the cognizant contracting office and the records shall be made available to reviewing activities (i.e., GAO, OIG, DOT) on an as-required basis.

### **IX. IMPLEMENTATION.**

These procedures may be used immediately, but shall be fully implemented no later than October 25, 1994.

#### List of Attachments:

Attachment 1	Sample DPA (Purchase/Credit Card)
Attachment 2A & 2B	OST Office of Financial Memoranda of 9/19/91 and 10/21/91
Attachment 3	Sample Request for DPA (Training Services)
Attachment 4	Sample DPA (Training Services)
Attachment 5	SF-182 Supplemental Terms and Conditions--DOT
Attachment 6	Sample Sole Source Justification
Attachment 7	Small Purchase Summary, DOT F 4230.1
Attachment 8	Procurement Integrity Certification

# TAM NOTE 96-01

ATTACHMENT 1

S A M P L E

ACTION: Delegation of Procurement Authority  
Number DT \_\_\_\_\*-DPA-\_\_\_\_\*\*

\_\_\_\_\_  
Chief of the Contracting Office

\_\_\_\_\_  
DPA Recipient (Name, OA, Routing Symbol)

You are hereby delegated the authority to purchase supplies or services and pay for such purchases using the International Merchant Purchase Authority Card (IMPAC), the current name of the Governmentwide Commercial Credit Card Program. No single purchase under this authority may exceed the micro-purchase threshold set forth in FAR 13.601, and is in accordance with further limitations which may be imposed upon you by your Approving Official. Supplies or services may be purchased, consistent with your organizational responsibilities and monthly purchase limits established by the Approving Official designated to review your purchases.

This delegation does not authorize you to purchase supplies or services on the open market that are required to be obtained from mandatory sources of supply (see Federal Acquisition Regulation (FAR), Part 8), nor does it authorize you to procurement supplies or services for which procurement responsibility has been assigned to another organizational element. You are authorized to use the IMPAC for purchases not exceeding the micro-purchase threshold set forth in FAR 13.601, under General Services Administration (GSA) Federal Supply Schedule contracts from contractors who will accept the IMPAC.

All purchases must be made in accordance with applicable laws and regulations including, but not limited to, the FAR, the applicable GSA purchase/credit card contract (currently IMPAC which is the registered trademark of the Rocky Mountain Bankcard system), the DOT Purchase/Credit Card Program (Transportation Acquisition Manual Subchapter 1213.70), and OA purchase/credit card procedures.

This delegation shall automatically terminate upon your separation from the Department or reassignment to another office within the Department.

NOTE: At the discretion of the OA and the cognizant COCO, the purchase/credit card DPA and a DPA to acquire training services (see Attachment 4, which can be modified to indicate a micro-purchase threshold (FAR 13.601)) limitation may be combined into one delegation memorandum.

S A M P L E

ACTION: Request for Delegation of Procurement  
Authority (Training Services)

\_\_\_\_\_  
Director/Manager, Office of Personnel/  
Human Resources Management (as appropriate)

Chief of the Contracting Office

A Delegation of Procurement Authority (DPA) is requested for the individual identified below who shall be designated as a DPA recipient for the purposes of acquiring training services in accordance with the procedures prescribed in Transportation Acquisition Manual (TAM) Chapter 1213 and the Departmental Personnel Manual System Chapter \_\_\_\_\_. It is understood that the DPA will terminate upon the employee's separation from DOT or reassignment to another office within the Department.

This individual has received a minimum of 32 hours of small purchase training or required purchase/credit card training from the organization or institution identified below, and a copy of the individual's course completion certification or equivalent documentation of successful course completion is attached.

Name of designee: \_\_\_\_\_  
Operating Administration: \_\_\_\_\_  
Business Address: \_\_\_\_\_  
\_\_\_\_\_  
Telephone No.: \_\_\_\_\_  
Training date(s): \_\_\_\_\_  
Training institution: \_\_\_\_\_

A copy of Federal Acquisition Regulation Part(s) \_\_\_\_\_, (not provided with the designated DPA recipient's small purchase training), Transportation Acquisition Regulation Part(s) \_\_\_\_\_, and TAM Chapter(s) \_\_\_\_\_ are requested for the use of the DPA recipient.

If there are any questions concerning this request, please contact \_\_\_\_\_(name), \_\_\_\_\_(telephone).

Attachment



# TAM NOTE 96-01

## SAMPLE

## ATTACHMENT 4

ACTION: Delegation of Procurement Authority (DPA)  
Number DT\_\_\_\_\*-DPA-\_\_\_\_\*\*

\_\_\_\_\_  
Chief of the Contracting Office

\_\_\_\_\_  
DPA Recipient (Name, OA, Routing Symbol)

You are hereby delegated the authority to purchase training services, consistent with your organizational responsibilities, as prescribed in the attached Department of Transportation (DOT) Procedures for the Acquisition of Training Services.

In anticipation of this delegation of procurement authority (DPA), you have been provided formal small purchase training to familiarize you with the statutory and regulatory requirements of the Federal Acquisition Regulation (FAR). This DPA is limited as follows:

- Acquisitions shall be accomplished within the limitations of the Government Employees Training Act, FAR, Transportation Acquisition Regulation (TAR), Transportation Acquisition Manual (TAM), the Departmental Personnel Manual; and the attached procedures;
- The cost of the training does not exceed \$25,000 for an individual student or training requirement, and the annual aggregate cost for a specific subject does not exceed \$25,000;
- The training cost is of a fixed amount based on established catalog or market prices;
- The training is considered commercially available/off-the-shelf or modified commercially available/off the shelf; or is available from a Government source of supply; and
- A Standard Form 182, Request, Authorization, Agreement and Certification of Training, the Government purchase/credit card, or on an exception basis, the DOT imprest fund are used to acquire and pay for training.

As requested in the DPA application submitted by your office, also attached are copies of selected FAR, TAR, and TAM guidance. If there are any questions concerning this DPA, please contact

\_\_\_\_\_(name), \_\_\_\_\_(tel.). This DPA shall automatically terminate upon your separation from DOT or upon reassignment to another office within the Department.

\*2-digit Contracting Office CIS No.; \*\*3-digit sequential number

Attachments

# TAM NOTE 96-01

ATTACHMENT 5

## SF-182 SUPPLEMENTAL TERMS AND CONDITIONS FOR COMMERCIAL ACQUISITIONS--DOT

The following provisions/clauses supplement SF-182, Request, Authorization, Agreement and Certification of Training. All the following provisions/clauses apply to this order at the dollar thresholds indicated below:

### Required at all dollar levels :

- FAR 52.203-1 Officials Not to Benefit (APR 84)
- FAR 52.203-3 Gratuities (APR 84)
- FAR 52.203-6 Restrictions on Subcontractor Sales to the Government (JUL 85)
- FAR 52.203-7 Anti-Kickback Procedures (OCT 88)
- \*FAR 52.204-3 \*\*Tax Identification Number (TIN) (MAR 94)  
TIN: \_\_\_\_\_ (Offeror provides)
- FAR 52.222-3 Convict Labor (APR 84)\*\*\*
- FAR 52.222-21 Certification of Nonsegregated Facilities (APR 84)
- FAR 52.222-22 Previous Contract and Compliance Reports (APR 84)
- FAR 52.222-26 Equal Opportunity (APR 84)
- FAR 52.223-5 Certification Regarding a Drug Free Workplace (JUL 90)\*\*\*
- FAR 52.223-6 Drug Free Workplace (JUL 90)\*\*\*
- FAR 52.227-14 Rights in Data-General, w/Alt. I, II, III (JUN 87)
- FAR 52.232-1 Payments (APR 84)
- FAR 52.232-8 Discounts for Prompt Payment w/Alt. I (APR 89)
- FAR 52.232-18 Availability of Funds (APR 84)\*\*\*\*
- FAR 52.232-25 Prompt Payment (MAR 94)
- FAR 52.233-1 Disputes (MAR 94)
- FAR 52.233-3 Protest After Award (AUG 89)
- FAR 52.243-1 Changes-Fixed Price (AUG 87) w/Alt. II, III
- FAR 52.245-2 Government Property Fixed Price (DEC 89)
- FAR 52.245-4 Government Furnished Property (Short Form) (APR 84)
- FAR 52.246-1 Contractor Inspection Requirements (APR 84)
- FAR 52.249-1 Termination For Convenience of the Gov't,FP,Short Form (APR 84)
- TAR 1252.242-72 Dissemination of Contract Information (OCT 94)

### Required for actions greater than \$2,500 :

- FAR 52.222-36 Affirmative Action for Handicapped Workers (APR 84)

### Required for actions greater than \$10,000 :

- FAR 52.222-35 Affirmative Action Vietnam Era (APR 84)
- FAR 52.222-37 Employment Report Disabled/Vietnam (JAN 88)

- \* Must be incorporated in full text; all other clauses may be incorporated by reference.
- \*\* If the TIN is not provided verbally at the time of award, Clause FAR 52.204-3, shall be completed by the contractor and submitted with the contractor's invoice.
- \*\*\* Required at any dollar value, if the award is expected to be made to an individual.
- \*\*\*\* Required if the action will be chargeable to funds of the new fiscal year and the action is to be initiated before the funds are available.

**(a) Definitions.**

"Common parent," as used in this solicitation provision, means that corporate entity that owns or control an affiliated group of corporations that files its Federal income tax returns on a consolidated basis, and of which the offeror is a member.

"Corporate status," as used in this solicitation provision, means a designation as to whether the offeror is a corporate entity, an unincorporated entity (e.g., sole proprietorship or partnership), or a corporation providing medical and health care services.

"Taxpayer Identification Number (TIN)," as used in this solicitation provision means the number required by the Internal Revenue Service (IRS) to be used by the offeror in reporting income tax and other returns.

(b) All offerors are required to submit the information required in paragraph (c) through (e) of this solicitation provision in order to comply with reporting requirements of 26 U.S.C. 6041, 6041A, and 6050M and implementing regulations issued by the IRS. If the resulting contract is subject to the reporting requirements described in FAR 4.903, the failure of refusal by the offeror to furnish the information may result in a 31 percent reduction of payments otherwise due under the contract.

**(c) Taxpayer Identification Number (TIN).**

☐ TIN: \_\_\_\_\_  
☐ TIN has been applied for.  
☐ TIN is not required because:

☐ Offeror is a nonresident alien, foreign corporation, or foreign partnership that does not have income effectively connected with the conduct of a trade or business in the U.S. and does not have an office or place of business or a fiscal paying agent in the U.S.;

☐ Offeror is an agency or instrumentality of a foreign Government;

☐ Other. State basis: \_\_\_\_\_  
\_\_\_\_\_.

**(d) Corporate Status.**

☐ Corporation providing medical and health care services, or engaged in the billing and collecting of payments for such services;

☐ Other corporate entity;  
☐ Not a corporate entity:

# **TAM NOTE 96-01**

## **CHAPTER 1243**

### **CONTRACT MODIFICATIONS**

#### **TABLE OF CONTENTS**

##### **SUBCHAPTER 1243.1--GENERAL**

1243.105           Availability of funds.

##### **SUBCHAPTER 1243.70--UNDEFINITIZED CONTRACT ACTIONS**

1243.7000           Scope of subchapter.

1243.7001           Definitions.

1243.7002           Policy.

1243.7003           Administration of UCAs.

1243.7004           UCA monitoring system and report.

|

# **TAM NOTE 96-01**

## **CHAPTER 1243**

### **CONTRACT MODIFICATIONS**

#### **SUBCHAPTER 1243.1--GENERAL**

##### **1243.105 Availability of funds.**

The contracting officer shall obtain a certified Form DOT F 4200.1, Procurement Request-Process Rapidly, from the requirements office to meet the conditions set forth in (FAR) 48 CFR 43.105.

#### **SUBCHAPTER 1243.70--UNDEFINITIZED CONTRACT ACTIONS.**

##### **1243.7000 Scope of subchapter.**

This subchapter sets forth the requirements for the administration of undefinitized contract actions as required by the House Appropriation Subcommittee on Transportation Report No. 101-584 (H.R. 5223).

##### **1243.7001 Definitions.**

"Undefinitized contract action" (UCA) means the following:

(1) Change Orders. All modifications/supplemental agreements issued under the "Changes" clause when the price for the change has not been negotiated;

(2) Maximum Priced Actions. All actions issued with a not-to-exceed limitation except for change orders and letter contracts; and

(3) Letter Contracts.

"Value" means the ceiling amount of the action (i.e., the Government's estimated amount for the change order; the not-to-exceed amount cited on the maximum price action, or the limitation of the Government's liability on the letter contract).

##### **1243.7002 Policy.**

Contracting officers shall exert every effort to keep UCAs to a minimum.

##### **1243.7003 Administration of UCAs.**

Contracting officers shall negotiate the UCA and issue the definitized contractual document within six months after the UCA has been issued to the contractor. If this timeframe is not met, the contracting officer should document the contract file to state the reason for the delay.

## **TAM NOTE 96-01**

### **1243.7004 UCA monitoring system and report.**

(a) The HCA shall ensure that a system is developed and maintained to monitor UCAs. The COCO shall ensure that progress is being made to definitize the UCAs within the six-month period (except see (FAR) 48 CFR 16.603-2 for additional requirements for letter contracts.) Also, see TAM 1216.603-2(c) for COCO approval to extend the definitization schedule under letter contracts.

(b) OAs may be required to prepare UCA reports upon request from M-60. Therefore, the UCA monitoring system established by the OA should be able to provide, at a minimum, the total number and value of all change orders, maximum priced actions, and letter contracts.